

California Safe and Drug-Free Schools and Communities Grant

FY 2002-03 Information and Application Procedures
Application Deadline: June 4, 2003



**California Department of Alcohol and Drug Programs
Safe and Drug Free Schools and Communities
1700 K Street
Sacramento, California 95814**

May 7, 2003

Round 2 of Funding

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

Table of Contents

Introduction	3
Background	
Purpose	
Requirements and Expectations for Grantees	
Applicable Regulations	
Principles of Effectiveness and Related Requirements	
General Information	5
Eligibility	
Subcontracting	
Project Period	
Source of Funds	
Estimated Number of Awards and Range of Awards	
Use of Funds	
Reporting Requirements	
Compliance Review	
Application Due Date	
Priorities and Selection Criteria	8
Statutory Priority	
Special Consideration	
Selection Criteria	
Award Criteria	
Technical Proposal	10
Application Format and Questions	
Grant Project Budget	13
Application Submission	14
Application Timeline	
Submission Guidelines	
Application Format	
Questions/Assistance	
Acronyms and Definitions	17
Assurances	21
Certifications	25
Appendix A Indirect Cost Rate	28
Appendix B Subcontracting	31
Appendix C Web Sites References	32
Appendix D Forms	34
Cover Page,	
Logic Model,	
Work Plan,	
Evaluation Plan,	
Budget	

Introduction

Background

On January 8, 2002, President Bush signed the No Child Left Behind Act of 2001 (NCLB) reauthorizing the Elementary and Secondary Education Act of 1965. The Safe and Drug-Free Schools and Communities (SDFSC) Act was reauthorized under the NCLB. The full text of the statute can be found in 20 U.S.C. Section 7111 et seq. Since then, the California Department of Alcohol and Drug Programs (ADP), Prevention Services Division (PSD) has worked closely with the California Department of Education to secure the federal SDFSC funds for California from the U.S. Department of Education (USDOE). Because of significant changes in the statutes governing the SDFSC grant program, effective July 1, 2002, ADP no longer distributes funds to the counties through the Negotiated Net Amount (NNA) process. Rather, SDFSC funds are now awarded to selected grantees through a competitive grant process. The first round of SDFSC county grant funding began with a Request for Application (RFA) in August 2002. Thirty-three grant programs were funded. This RFA represents Round 2 of SDFSC county grant funding.

Purpose

The purpose of the Act is to foster a safe and drug-free learning environment that supports student academic achievement for the nation's youth. This grant program focuses on the needs of at-risk and under-served youth and their environments by creating and supporting programs that:

- prevent the illegal use of alcohol, tobacco, and other drugs (ATOD);
- prevent violence in and around schools;
- involve parents and communities; and
- coordinate with related federal, state, school, and community efforts and resources.

ADP's grant program is designed to support programs that are consistent with the Act's purpose, meet the Principles of Effectiveness (POE), can achieve measurable results, and supports ADP's prevention strategic plan. Funding for this grant will be provided for a three-year period with the understanding that fourth and fifth year funding will be at reduced levels (75% and 50% respectively). Grant programs are required to demonstrate progress in achieving measurable results, complying with the POE, and implementing the goals and objectives identified in the application and work plan. Programs that cannot demonstrate progress prior to year three may have funding terminated. Grant programs that cannot demonstrate progress by the end of year three will not receive funding in years four and five. After year five, all grant funding will end and programs should be integrated into the county's ongoing ATOD service delivery system.

Requirements and Expectations for Grantees

Application Process—The application that is submitted in response to this RFA will be incorporated into the final grant award agreement. In developing the application, it is critical that considerable time and attention be given to developing the program design, work plan, and budget, as well as identifying the roles and responsibilities of grant project personnel and participants. Because of the significant statutory changes to this grant program, many requirements for grantees have changed. Potential applicants

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

should scrutinize the referenced requirements included in this RFA, and be cognizant of their compliance responsibilities. These compliance responsibilities, in particular, compliance with the POE and the competitive award process, also extend to subcontractors. In addition to the applicable statutory and regulatory requirements, grantees that are subcontracting for program delivery are expected to be substantively involved in implementation of the grant program and must be able to demonstrate this throughout the grant period. (See page 6 for further guidance.)

Award Finalization—After the grantee has been notified that the application has been selected for funding, all grant award documents will be finalized. This will involve finalizing the budget and work plan information, and goals and objectives if needed, and Notice of Grant Award (NOGA) documentation. During this finalization process the grantees are expected to:

- be responsive, accurate and timely. If the grantee fails to respond to requests for information or continues to submit inaccurate information, there may be a delay in the award, and if not resolved within the necessary timeframe, result in termination of the grant award;
- identify one point of contact for communications following the grant award. The contact person should be familiar with the program and budget and be able to answer questions and provide information as requested to the PSD county analyst in an accurate and timely fashion. Further, the contact person should have the authority to make and approve changes to grant documents, or secure approval in a timely manner.

Post Award—After the NOGA has been finalized and signed, grantees must utilize the technical assistance services as directed by ADP to ensure compliance with regulations and requirements of the grant including complying with the POE.

Applicable Regulations

This grant is made subject to the provisions of all applicable acts and regulations and the approved SDFSC state plan. This grant is subject to the provisions of the Elementary and Secondary Education Act as amended and codified in 20 U.S.C. Section 7111 et seq., and 20 U.S.C. Section 7801 et seq. This grant is also subject to the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 76, 77, 79, 80, 81, 82, 85, 97, 98, 99, and the regulations in 34 CFR Part 299.

Principles of Effectiveness and Related Requirements

Grantees must comply with the USDOE's POE. For a program or activity to meet the POE, such program or activity shall:

1. a. be based on an assessment of objective data regarding the incidence of violence and illegal drug use in the elementary schools and secondary schools and communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use, including delinquency and serious discipline problems, among students who attend such schools (including private school students who participate in the drug and violence prevention program) that is based on ongoing local assessment or evaluation activities;

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

- b. be based on an established set of performance measures aimed at ensuring that the elementary schools and secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment;
 - c. be based on scientifically based research¹ that provides evidence that the program to be used will reduce violence and illegal drug use;
 - d. be based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, including high or increasing rates of reported cases of child abuse and domestic violence; protective factors, buffers, assets; or other variables in schools and communities in the State identified through scientifically based research; and
 - e. include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.
2. Periodic Evaluation:
- a. **REQUIREMENT-** The program or activity shall undergo a periodic evaluation to assess its progress toward reducing violence and illegal drug use in schools to be served based on performance measures described in 20 U.S.C. Section 7114 (d)(2)(B).
 - b. **USE OF RESULTS-** The results shall be used to refine, improve, and strengthen the program, and to refine the performance measures, and shall also be made available to the public upon request, with public notice of such availability provided.

General Information

This request for grant application is based on the requirements of the SDFSC program under the NCLB, and the most recent information available from the USDOE, including the Guidance for State and Local Implementation of Programs, released in December 2002 (available at www.adp.ca.gov/Prevention/sdfsc.shtml). This request for grant application also reflects practical experience and insights gained from the development and implementation of the grant award and implementation process in Round 1.

ADP reserves the right to amend the terms and conditions of this grant program based on future clarification by USDOE, and future information and policy decisions created to guide grantees in program compliance.

Eligibility

California county offices authorized by the county board of supervisors to administer alcohol and drug programs are eligible for funding under this grant. They must implement, develop and operate ATOD primary prevention and violence prevention programs meeting the requirements of the SDFSC program under 20 U.S.C. Section 7111 et seq. The applicant will be the **County Alcohol and Drug Program Administrator**. The applicant must maintain on file and make available on request the resolution, order, motion, or ordinance that authorizes and approves execution of this grant.

Consistent with the intent and requirements of SDFSC funds, the grantee must be substantively involved with the program that receives funds through this grant. Substantive involvement can be characterized as “the primary project activities for which

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

grant support is provided and/or a significant portion of the activities to be conducted under the grant."² Pass-through grants are not allowed; however, program services can be subcontracted (see Subcontracting below and Appendix B). Substantive involvement must be demonstrated through responses to applicable questions in the Technical Proposal.

If the county AOD office is not directly involved in the delivery of services, activities that would meet the requirement of substantive program involvement include, but are not limited to:

- preparation of the contracts/interagency agreements for program implementation issued in accordance with county regulations/policies;
- analysis and monitoring of project progress, submission of timely progress reports to the Department, taking any necessary action to ensure the terms of the contract are carried out;
- participation in community planning process and/or the development of an acceptable strategic plan;
- participation in the evaluation process, which will include analysis, reporting and dissemination of programmatic data and not merely collecting program information; and
- providing training, technical assistance and support services.

Subcontracting

Subcontracting elements of program implementation and services is allowed under this grant program. The grantee may use contracts for two purposes:

1. For federal financial assistance to carry out elements of the SDFSC program. Entities receiving federal assistance are defined as "subrecipients."
2. To procure goods and services that are ancillary to the SDFSC program. Entities receiving payment for providing goods and services ancillary to the program are defined as "vendors."³

Grantees may directly enter into contracts with more than one subrecipient if necessary to carry out the proposed program. Subrecipients may enter into contracts with vendors to provide goods and services necessary to carry out the program; however, subrecipients may not subcontract for program implementation.

Project Period

The proposed start date of the grant project is September 1, 2003. Initial awards will be made for a project period of three years; after the first three-year award, annual renewals will be contingent upon the demonstration of progress in achieving measurable results, complying with the POE, and implementing the goals and objectives identified in this application and subsequent work plan. Grantees that cannot demonstrate progress by the end of year three will not receive funding in years four and five. Grantees that cannot demonstrate progress prior to year three may have funding terminated. During years four and five, grantees must demonstrate their ability to sustain the program and provide information on steps taken to integrate the program into the county AOD prevention system.

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

Source of Funds

The source of funds is SDFSC (Title IV) of the NCLB Act of 2001, 20 U.S.C. Section 7111 et seq. The expenditure of SDFSC funds is subject to the availability period of the federal award year. The funds for the first project year are from federal award year 2002.

Funding for this grant will be provided for a three-year period with the understanding that fourth and fifth year funding will be at reduced levels (75% and 50% respectively).

Estimated Number of Awards and Range of Awards

There is \$1.7 million available to fund grants in Round 2. The maximum amount allowable for each grant is \$200,000 per year. Awards will be provided to the highest ranked applications that have a final score of 80 percent or above, up to the available amount of \$1.7 million.

This grant program allows for multiple awards per county. A county may have a total of **three** grant awards, including previous grant awards from Round 1. For example, if a county was awarded two grants in Round 1, it may submit multiple applications for Round 2, but will only be eligible to receive one additional award in Round 2. If several counties collaborate to submit one application and are awarded, that award will count toward the three maximum awards allowed for each county included in the application.

One application must be submitted for each award. Counties submitting multiple applications must be aware that each award will be viewed as a unique entity and will be scored separately. Additionally, the counties must demonstrate through responses to the Technical Proposal how multiple awards will be strategically integrated to attain county goals and complement grant programs funded in Round 1, if applicable.

Use of Funds

Although SDFSC authorizes a broad range of activities, the statutory provisions are not the only requirements governing expenditures of funds. For information on the use of SDFSC funds see:

- The *Education Department General Administrative Regulations* (EDGAR) (www.ed.gov/offices/OCFO/grants/edgar.html).
- OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments (www.whitehouse.gov/omb/circulars/a087/a087-all.html)
- OMB Circular A-122, Cost Principles for Non-Profit Organizations (www.whitehouse.gov/omb/circulars/a122/a122.html)

Additional information on allowable activities and expenses is included in the Terms and Conditions (www.adp.ca.gov/prevention/sdfsc.shtml).

Reporting Requirements

Grantees are paid quarterly in arrears after progress reports and claim forms have been approved. Quarterly progress reports and claim forms are due 30 days after the close of each calendar quarter. In addition, a comprehensive annual report at the end of each project year is due 30 days after the end of the project year. A final performance report will be due 90 days after the end of the grant period (end of Year three). Additional information about the progress report and claim forms and requirements is included in the Terms and Conditions.

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

Compliance Review

PSD county analysts will monitor grantees and programs for compliance with the requirements of the grant agreement and will review work plans, budgets, invoices, claim forms, and performance progress reports. Analysts will conduct periodic program reviews through county office and program site visits, and attendance at program activities and training events. Analysts will also assess information gathered from audits. Each grant will be monitored to ensure quality programs, coordination of efforts, and compliance with the Principles of Effectiveness. If it is determined that programs are not meeting the requirements of SDFSC, mutually agreed upon steps will be developed to resolve issues regarding compliance. If a resolution of issues, or compliance is not reached, the grant may be terminated at the discretion of ADP with 30 days notice.

Application Due Date

All applications must be received at ADP on or before **June 4, 2003**. Applications delivered by hand must be received no later than **5:00 p.m.** on June 4, 2003.

LATE APPLICATIONS WILL NOT BE ACCEPTED.

ADP will not provide receipts. If you would like documentation of receipt of application, send the application by certified/registered U.S. mail or utilize an overnight service that provides tracking.

Due to the requirement for original signatures, applications submitted through facsimile, electronic transfer, or on diskette will not be accepted.

Priorities and Selection Criteria

This grant competition focuses exclusively on projects designed to meet the statutory requirements in 20 U.S.C. Sections 7111 et seq. and 7801 et seq.

Statutory Priority

Priority will be given to programs and activities that prevent illegal drug use and violence for at-risk and under-served children and youth who are not normally served by state educational agencies or local educational agencies, or populations that need special services or additional resources such as seriously emotionally disturbed children. This may include, but is not limited to, youth in the criminal justice system, runaways, and homeless youth.

Special Consideration

Special consideration will be given to grantees that pursue a comprehensive approach to drug and violence prevention that includes providing and incorporating mental health approaches related to drug and violence prevention, in their programs.

Selection Criteria

Applications will be reviewed and scored by ADP staff. The maximum score is 185 points. The Technical Proposal is worth 135 points (approximately 70 percent) and the budget section is worth 50 points (approximately 30 percent). The minimum score ADP

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

will accept is 80 percent. The following selection criteria will be used to evaluate applications.

Selection criteria are based on both the Principles of Effectiveness and the ability of the applicant to demonstrate readiness to implement programs consistent with the POE and the SDFSC guidelines. Further, applicants will be scored and selected based on their ability to demonstrate a logical relationship between assessment of stated needs, program strategies identified to address the stated need, nature and type of program selected for implementation, ability to identify clear goals and objectives, and the science-based evidence that the program strategies are effective.⁴ Further consideration for selection will be the extent to which the application demonstrates that a program meets statutory and special consideration priorities. The maximum score for each criterion is indicated in parentheses following each section of the Technical Proposal.

Award Criteria

Applications that receive a score of 80 percent or above, and currently have no Round 1 SDFSC grants, will receive an additional 10 points. Counties may not receive more than three SDFSC grant awards.

Technical Proposal

In completing your responses to the questions contained in the Technical Proposal, use the outline as it appears below and label your responses accordingly. **Failure to follow the outline as it appears below may result in a lower score.**

Section I – Program Abstract (Required - 0 points)

- A. Briefly describe the ATOD/violence prevention program you will be implementing with grant funds. Include the following elements in your program description:
- 1) the community ATOD/violence need you will be addressing with the program;
 - 2) the target populations that will be served by this program; and
 - 3) an estimated number of individuals to whom you expect to provide services.
- B. Describe the overall goal(s) of the program.
- 1) Describe the program strategies for each goal.
 - 2) Explain the linkages between the community need described in A.1, the goals, and program strategies.
 - 3) Describe the intended impact of your program on the target populations you will serve, and how you will measure the impact.

Section II—Assessment and Analysis of Objective Data (total points: 20)

A. Community Assessment

POE #1A: Program shall be based on an assessment of objective data regarding the incidence of violence and illegal drug use in the elementary schools and secondary schools and communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use, including delinquency and serious discipline problems, among students who attend such schools (including private school students who participate in the drug and violence prevention program) that is based on ongoing local assessment or evaluation activities.

- 1) What community ATOD/violence need are you addressing with this program?
- 2) Describe how your community data assessment and analysis process supports the selection of the ATOD/violence prevention program you will be implementing.
- 3) Provide the data sources and citations that were used as part of your analysis.

B. Risk/Protective Factors

POE #1D: Program shall be based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, including high or increasing rates of reported cases of child abuse and domestic violence; protective factors, buffers, assets; or other variables in schools and communities in the State identified through scientifically based research.

- 1) What ATOD risk/protective or other factors will you address with this program? How does it relate to the community ATOD/violence need?
- 2) Describe how your analysis of this data supports the selection of your program.

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

- 3) Include the data sources and citations that were used as part of your analysis.

Section III—Planning (total points: 15)

POE #1E: Program shall include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.

- A. Describe the planning process by which the County AOD Office, LEAs, school(s), parents, youth, community members, and potential subcontractor(s) if applicable, will collaborate in a continuous planning, implementation, and evaluation relationship. (If there is a current approved strategic plan guiding your application please include it as Attachment A.)
 - 1) If the parties listed above (i.e., LEAs, parents, youth, etc.) are not involved in your current planning process or strategic plan, describe how you will involve them.
 - 2) Include letters of participation from relevant LEA executive representative(s).
- B. List other programs in your county that are being funded by Round 1 SDFSC funds (if applicable). (0 points)
 - 1) How do these programs differ from the program you are proposing.
 - 2) How will this program complement existing prevention programs, including Substance Abuse Prevention and Treatment Block Grant (SAPT) funded programs.
 - 3) Please describe any collaborative efforts between your proposed program and existing programs.

Section IV –Program Design (total points: 45)

POE # 1B: Program shall be based on be based on an established set of performance measures aimed at ensuring that the elementary schools and secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment.

Logic Model

- A. Using the worksheet in Appendix D and Web resources listed in Appendix C, create a logic model graphic that links the program strategies to the stated community ATOD/violence need (include in your application as Attachment B).
- B. Provide a narrative that explains the Logic Model with the following goals and objectives as a guide.

Goals and Objectives

- A. Based on your needs assessment, what are your program goals? (What do you want to change? *Example: Reduce incidence of school violence at XYZ High School.*)
- B. Describe your target population(s). (Who are you providing services to? Who will benefit from the program?)

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

- 1) How will you serve youth who are not normally served by state educational agencies or local educational agencies, or populations that need special services or additional resources?
 - 2) Do your program services include the provision of mental health approaches related to alcohol, drug and violence prevention? If so, describe the services.
- C. What ATOD/violence prevention strategies will you employ to accomplish your program goals? (What are your program objectives? *Example: Implement LMN Violence Prevention Curriculum, Provide parent training, etc.*)
- D. Why do you believe these prevention strategies will have the desired effect in the target population? If there is a theoretical basis for selection of strategies, please include this in your description.

Research

*POE #1C: The program shall be based on scientifically based research that provides evidence that the program to be used will reduce violence and illegal drug use.*¹

- A. Describe the science or research that demonstrates the effectiveness of your chosen strategies.
- B. Identify the source of the science or research.

Performance Measures

POE #1B: The program shall be based on an established set of performance measures aimed at ensuring that the elementary schools and secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment;

- A. Incorporating your goal statement, describe the indicators of success (performance measures) for your program outcomes and the extent/amount of anticipated change that will be achieved by the end of each grant year and at the end of the program. (How will you know whether your program is meeting its stated goals and objectives? *Example: This project will reduce the incidence of school violence at XYZ High School by reducing the rate of expulsions for bringing weapons to school at a rate of 20%, from 200 to 160 expulsions in project year 1 and by 10 % in each of the following two years.*)
- B. Describe how elementary and secondary schools and their environments communities will be impacted by this program.

Section V—Evaluation Plan (total points: 15)

POE #2A: The program shall undergo a periodic evaluation to assess its progress toward reducing violence and illegal drug use in schools to be served based on performance measures.

- A. Describe your ongoing program evaluation activities.
- B. Using the Evaluation Plan format (Appendix D) develop an evaluation plan. The plan should include a description of data collection tools and measures for each objective that will be used in evaluating your program (archival data, surveys, community focus groups, etc).

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

POE #2B: The results shall be used to refine, improve, and strengthen the program, and to refine the performance measures, and shall also be made available to the public upon request, with public notice of such availability provided.

- C. Describe how information from the evaluation will be regularly analyzed, used to improve the program, and provided as feedback to participants, community members, parents or guardians, and target population groups.

Section VI—Work Plan (total points: 25)

- A. Using the work plan form in Appendix D, provide a **three-year** work plan that summarizes the program preparation, implementation, data gathering/analysis and evaluation activities and steps taken to achieve them. Include this work plan as Attachment B of your application.

Section VII—Operational Capacity (total points: 15)

- A. Describe how the county AOD office will be substantively involved in this program.
- B. Create an organizational chart (Attachment C) that identifies the relationships between the county AOD office, and any subrecipients and vendors, if applicable.
- C. Provide a brief description of how the organizations identified in the organizational chart will work together under the AOD office.
- 1) Outline the roles and responsibilities of all key staff.
 - 2) Provide evidence of the skills and capabilities of all key staff.
- D. Describe how your organization plans to maintain this program after the grant ends. Simply stating that the organization will apply for grants is not sufficient.

Grant Project Budget

The budget portion of the application is worth 50 points. In completing your response to this section, please include separate budgets for the ATOD office and each subrecipient. Use the budget form provided in Appendix D (Budget Format). The budget must provide for two trips per year to technical assistance and training workshops in Sacramento, California.

Indirect costs are allowable for direct service line items only (not contractual services) and can not exceed 8 percent, consistent with EDGAR requirements.⁵

In completing the form and the accompanying budget narrative, the following will be considered in scoring:

- The completeness, appropriateness, relevance, and cost effectiveness of the budget relative to the information provided in the Technical Proposal.
- Whether the program services and costs are allowable under EDGAR, the statute, the non-regulatory guidance, and applicable OMB Circulars.

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

- Whether the accompanying narrative adequately explains and justifies the expenses provided in the budget.

Application Submission

Estimated Application Timeline

RFA release:	May 7, 2003
Questions due:	May 19, 2003
ADP Response:	May 26, 2003
Applications due:	June 4, 2003

Submission Guidelines.

All applications must be received at ADP on or before 5:00 p.m. on Wednesday, **June 4, 2003**. Submit completed applications to:

California Department of Alcohol and Drug Programs
PSD – SDFSC County Grant RFA
1700 K Street, 2nd Floor
Sacramento CA 95814

Hand delivered applications should be brought directly to the Business Services Section at ADP, Room #100.

LATE APPLICATIONS WILL NOT BE ACCEPTED.

Applications received after this date will not be eligible for review. ADP reserves the right to reject any application.

ADP will not provide receipts. If you would like documentation of receipt of application, send the application certified/registered U.S. mail or utilize an overnight service that provides tracking.

Due to the requirement for original signatures, applications submitted through facsimile, electronic transfer, or on diskette will not be accepted.

Application Format

ADP staff will conduct an initial technical review to ensure that the following format requirements have been fulfilled. If any of the format requirements are missing or incorrect, the application will be disqualified, including failure to submit a Technical Proposal that corresponds to the outline. Do not attach anything to the application that cannot be photocopied using an automatic process, e.g. anything stapled, folded, pasted, or anything other than 8 1/2 x 11 inch, white, text weight paper.

Please refer to the following checklist to ensure your application is complete:

- ✓ The original application is signed in ink and unbound.
- ✓ There are three unbound copies (one original and two copies).

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

- ✓ All pages have a header identifying the document as a SDFSC Grant application and specifying the County of the applicant.
- ✓ The application is printed on standard text weight, white, 8 1/2 x 11 inch paper with one-inch margins.
- ✓ All pages are double-spaced, and printed on one side in Times/Times New Roman 12-point font. Exceptions to the font and spacing restrictions include the organizational chart, logic model, evaluation plan, work plan, budget and attachments.
- ✓ All pages are consecutively numbered beginning with Section I of the application narrative.
- ✓ The County Alcohol and Drug Program Administrator has signed as the applicant on the Cover Page.
- ✓ The Assurances and Certifications Page is reviewed and signed.

In addition, the application must include the following elements in the order specified. If any of the elements are missing in the application, the application will be disqualified.

Cover Page. The cover page format is included in Appendix D, Forms.

Table of Contents. The table of contents should identify the page number for each of the major sections of the application, in addition to any appendices.

Application Narrative. Application narrative contains Sections I-VII. It does not include the table of contents, budget and budget narrative, or Attachments. (The attachments are included below.) The application narrative is **not to exceed 25 single-sided, double-spaced pages**. If the application narrative contains more than 25 pages, only the first 25 pages will be scored.

Section I—Program Abstract. This program summary must include all elements listed. Be concise. Abstract should be kept to one page.

Section II—Assessment and Analysis of Objective Data. Be sure to address required elements. If your county has a strategic plan, attach a copy labeled Attachment A.

Section III—Planning. Include a logic model graphic as Attachment B.

Section IV—Program Design. Proposed projects must be researched, well thought out, and relate to the stated community need. Be concise and specific in your descriptions. Be mindful that your program must comply with the POE and ultimately provide for safe and drug-free learning environments that support student academic achievement.

Section V—Evaluation Plan. Include the data collection tools and measures for each program objective as Attachment C.

Section VI—Work Plan. Include a detailed three-year work plan as Attachment D. Work plans must be in chronological and logical order, and include expected deliverables. Tasks listed must lead to the achievement of the objective and goal. All phases must have a timeline.

Section VII—Operational Capacity. Include a one-page organizational chart as Attachment E.

Budget and Budget Narrative. A sample Budget Form is included in Appendix D, Forms. Include separate budgets and budget narratives for each subrecipient. Budgets

**Safe and Drug Free Schools and Communities County Grant
Request For Application**

must be prepared according to the categories included on the form. Indirect costs cannot exceed 8% and contractual services cannot be included in the calculation (see restricted indirect cost rate formula Appendix A). Please note that the appropriate column on the Budget Form must be completed for each project year of the grant. Failure to supply budget information for each project year will result in rejection of application. The budget narratives must include detailed information that clearly explain how you arrived at the cost estimate and justify why the costs are needed. Check calculations. Mathematical or typographical errors could result in a lower score. Because subcontracts with subrecipients and vendors must be awarded competitively, the applicant is not expected to provide the name of the subrecipient or vendor in the budgets, instead use descriptive titles such as "Evaluation Services" and the estimated cost of the contract. In the budget narrative, use the descriptive titles listed in the budget and provide a brief description of the work the subrecipient or vendor will perform. Include estimated subrecipient budgets for program implementation. (See EDGAR and OMB circulars for allowable costs.)

Assurances and Certifications Form. This form must be signed by the County Alcohol and Drug Program Administrator.

Letter(s) of Participation. Include letters of participation from relevant LEA executive representatives.

Attachments:

Attachment A. Strategic Plan (If applicable)

Attachment B. Logic Model Graphic (work sheet is not required)

Attachment C. Evaluation Plan(s)

Attachment D. Work Plan

Attachment E. Organizational Chart

Questions/Assistance

All questions regarding this RFA must be submitted in writing and contain a contact name and address. The final date to submit questions is **May 19, 2003**. All questions and responses will be distributed to all applicants and posted on **www.adp.ca.gov/Prevention/sdfsc.shtml** before the application due date. No telephone consultation will be provided.

Submit questions in writing to:

California Department of Alcohol and Drug Programs
PSD—SDFSC County Grant RFA
1700 K Street
Sacramento, CA 95814
Fax: (916) 323-0633
E-mail: SDFSC@adp.state.ca.us

¹ See Acronyms and Definitions in Appendix A for USDOE's definition of scientifically based research.

² It is the intent of USDOE that recipients implement programs and are substantively involved in program implementation, rather than act as pass-through entities. To do that, we have adopted the Public Health Services (PHS) definition of substantive involvement.

³ as defined in Office of Management and Budget (OMB) Circular A-133.

⁴ See Acronyms and Definitions in Appendix A for USDOE's definition of scientifically based research.

⁵ EDGAR 76.563 through 76.569.

Acronyms and Definitions

Alcohol, Tobacco and Other Drugs (ATOD): any beverage containing alcohol (such as beer, wine, whiskey), tobacco and other drugs (licit and illicit).

ADP: The Department of Alcohol and Drug Programs.

AOD: Alcohol and Other Drugs

Alcohol and Other Drug Agencies: alcohol and drug service providers, alcohol and drug advisory boards, community organizations that provide AOD services, county alcohol and drug administrators, the Department of Alcohol and Drug Programs, and/or other drug prevention, intervention, and treatment services under the purpose of this contract.

Annual Report: a formal accounting of outcomes of a program for a project year.

At-Risk Youth: a minor whose environment increases their chance of becoming a teen parent, school dropout, gang member, or user of alcohol and drugs.

CDE: The California Department of Education.

Community-Based Organization: The term “community-based organization” means a public or private nonprofit organization of demonstrated effectiveness that:

- (A) is representative of a community or significant segments of a community; and
- (B) provides educational or related services to individuals in the community.

Department: California State Department of Alcohol and Drug Programs.

Drug and Violence Prevention: The term “drug and violence prevention” means

- (A) with respect to drugs: prevention, early intervention, rehabilitation referral, or education related to the illegal use of drugs;
- (B) with respect to violence: the promotion of school safety, such that students and school personnel are free from violent and disruptive acts, including sexual harassment and abuse, and victimization associated with prejudice and intolerance, on school premises, going to and from school, and at school-sponsored activities, through the creation and maintenance of a school environment that is free of weapons and fosters individual responsibility and respect for the rights of others.

ESEA: The Elementary and Secondary Education Act of 1965

Educational Service Agency: The term “educational service agency” means a regional public multiservice agency authorized by State statute to develop, manage, and provide services or programs to local educational agencies.

EDGAR: Education Department General and Administrative Requirements

Elementary School: The term “elementary school” means a nonprofit institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under State law.

Final Report: a formal cumulative accounting of all the project years of a program.

Local Educational Agency (LEA): The term “local educational agency” means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

NCLB: The No Child Left Behind Act of 2001, now codified in law in United States Code (U.S.C.) Section 7111 et. Seq.

NOGA: Notice of Grant Agreement. The legal agreement between ADP and the Grantees.

Nonprofit: The term “nonprofit,” as applied to a school, agency, organization, or institution means a school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

OMB: Office of Management and Budgets

Performance Measures (20 U.S.C. Section 7114 (d)(2)(B)): The local educational agency's performance measures for drug and violence prevention programs and activities, shall consist of performance indicators for drug and violence prevention programs and activities; including—

- specific reductions in the prevalence of identified risk factors; and
- specific increases in the prevalence of protective factors, buffers, or assets if any have been identified; and
- levels of performance for each performance indicator.

Prevention: a proactive process intended to promote and protect health and safety, and reduce or eliminate the need for remedial treatment of the physical, social, and emotional problems associated with the consumption of drugs and alcohol. It addresses individuals, the environmental settings in which they live, and the larger community.

Prevention Services Division: is an organizational unit housed within the Department of Alcohol and Drug Programs, and serves as the lead in providing coordination, guidance and assistance in California’s statewide prevention efforts.

POE: The Principles of Effectiveness.

Project Year: Twelve months of the grant year.

Protective Factor or Asset: The terms “protective factor,” “buffer,” and “asset” mean any one of a number of the community, school, family, or peer-individual domains that are known, through prospective, longitudinal research efforts, or which are grounded in a well-established theoretical model of prevention, and have been shown to prevent alcohol, tobacco, or illegal drug use, as well as violent behavior, by youth in the community, and which promote positive youth development.

P.L.: Public Law

RFA: Request for Application

Risk Factor: The term “risk factor” means any one of a number of characteristics of the community, school, family, or peer-individual domains that are known, through prospective, longitudinal research efforts, to be predictive of alcohol, tobacco, and illegal drug use, as well as violent behavior, by youth in the school and community.

Parental Involvement: The term “parental involvement” means the participation of parents in regular, two-way, and meaningful communication involving student academic learning and other school activities, including ensuring—

- that parents play an integral role in assisting their child's learning;
- that parents are encouraged to be actively involved in their child's education at school;
- that parents are full partners in their child's education and are included, as appropriate, in decision making and on advisory committees to assist in the education of their child; and
- the carrying out of other activities.

SDFSC: Safe and Drug Free Schools and Communities

School-Based Mental Health Services Provider: a school-based mental health services provider is defined as state licensed or state certified school counselor, school psychologist, school social worker, or other State license or certified mental health profession qualified under State law to provide such services to children and adolescents.

Scientifically Based Research: The term scientifically based research—

- (a) means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and
- (b) includes research that —
 - (i) employs systematic, empirical methods that draw on observation or experiment;
 - (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
 - (iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple

- measurements and observations, and across studies by the same or different investigators;
- (iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
 - (v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
 - (vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

Secondary School: The term “secondary school” means a nonprofit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under State law, except that the term does not include any education beyond grade 12.

State Educational Agency: The term “State educational agency” means the agency primarily responsible for the State supervision of public elementary and secondary schools – the California Department of Education.

SAPT: Substance Abuse Prevention and Treatment Block Grant.

USDOE: The United States Department of Education.

Assurances

As the duly authorized representative of the applicant, I assure that the:

1. Applicant has the legal authority to apply for federal assistance, and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Programs/activities will foster safe and drug-free learning environments.
3. Programs/activities will help individuals choose to forego or quit the use of alcohol, tobacco, and other drugs.
4. Drug and violence prevention programs supported by under this grant will convey a clear and consistent message that acts of violence and the illegal use of alcohol, tobacco, and other drugs are wrong and harmful.
5. Programs/activities proposed meet Principles of Effectiveness. Programs/activities are:
 - a) Based on an assessment of objective data regarding the incidence of violence and illegal drug use in the communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use that is based on ongoing local assessment or evaluation activities;
 - b) Based on an established set of performance measures aimed at ensuring that the communities to be served by the program have a safe, orderly, and drug-free environment;
 - c) Based on scientifically based research that provides evidence that the program to be used will reduce violence and illegal drug use;
 - d) Based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, protective factors, buffers, assets, or other variables in communities in the state identified through scientifically based research; and
 - e) Include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.
6. Programs/activities will undergo a periodic evaluation to assess its progress toward reducing violence and illegal drug use. The results will be used to refine, improve, and strengthen the program, and to refine the performance measures, and will also be made available to the public.
7. Control of funds provided under this program and title to property acquired with program funds will be in a public agency, a nonprofit private agency, institution, or organization, or an Indian tribe.

8. A public agency, nonprofit private agency, institution, or organization, or Indian tribe will administer those funds and property to the extent required by authorizing law.
9. Applicant will adopt and use proper methods of administering the programs/activities including:
 - a) The enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program;
 - b) The correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation; and
 - c) The adoption of written procedures for the receipt and resolution of complaints alleging violations of law in the administration of programs.
10. Funds received under this grant program will be used to supplement, not supplant, non-federal funds.
11. Funds will not duplicate the efforts of the California Department of Education and local educational agencies with regard to provision of school-based drug and violence prevention activities.
12. Applicant will comply with all requirements imposed by the Department of Alcohol and Drug Programs concerning special requirements of law, program requirements, and other administrative requirements.
13. The program will be administered in accordance with all applicable statutes, regulation, program plans, and applications (20 USC § 7846 (a)(4) and 34 CFR §76.700). The applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing this program.
14. Applicant will cooperate in carrying out any evaluation of the program by or for the Secretary of the Department of Education or other federal officials (20 USC §7846 (a)(4) and 34 CFR §76.591).
15. Applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, funds paid to the applicant under the program for funds paid to the applicant under the program (20 USC §7846 (a)(5) and 34 CFR 76.702).
16. Applicant will submit such reports as the Department of Alcohol and Drug Programs may require; and will maintain such records as the Department of Alcohol and Drug Programs may require, including the amount of funds under the grant, how the funds are used, the total cost of the project, the share of that cost provided from other sources, and any other records that demonstrate compliance with the program requirements (20 USC Section 7846 (a) (6) (A) and (B) and 34 CFR Section 76.730.)
17. Applicant afforded a reasonable opportunity for public comment on the application and considered such comments (20 USC Section 7846 (a)(7)).
18. Applicant will give the United States Department of Education, the Comptroller General of the United States, the Department of Alcohol and Drug Programs, and if appropriate, the

state auditor, through any authorized representative, access to and right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directive.

19. Applicant will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
20. Applicant will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
21. Applicant will comply with all state requirements relating to nondiscrimination: During the performance of this agreement, grantee and any subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, and denial of family care leave. Grantee and subcontractors shall ensure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Contractor and subcontractors shall comply with the provisions of the Fair Employment and housing Act (Government Code Section 12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 1, Section 7285 et seq.). The applicable regulations of the Fair Employment Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof, as if set forth in full. Grantee and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

Applicant will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title IV of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title (X) of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age, (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records, (h) title VIII of the Civil rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to non-discrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provision in the specific statute(s) under which application for federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to this application.

Applicant shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under this Agreement.

Applicant will post, and further will require its contractors or subcontractors to post, in conspicuous places, notices available to all employees and applicants for employment setting forth the provisions of the Equal Opportunity Act [42 USC 2000(e)] in conformance with Federal Executive Order No. 11246.

Under the laws of the State of California that Applicant and its contractors or subcontractors shall not unlawfully discriminate in the provision of services because of race, color, creed, national origin, sex, age, or physical or mental disability as provided by state and federal law and in accordance with Title VI of the Civil Rights Act of 1964 [42 USC 2000(d)]; Age Discrimination Act of 1975 (42 USC 6101); Rehabilitation Act of 1973 (29 USC 794); Education Amendments of 1972 (20 USC 1681); Americans with Disabilities Act of 1990 (42 USC 12132); Title 45, CFR, Part 84; provisions of the Fair Employment and Housing Act (Government Code Section 12900 et seq.); and regulations promulgated thereunder (Title 2, CCR, Section 7285.0 et seq.); Title 2, Division 3, Article 9.5 of the Government Code, commencing with Section 11135; and Title 9, Division 4, Chapter 6 of the CCR, commencing with Section 10800.

Applicant shall include nondiscrimination and compliance provisions in all subcontracts. Applicant shall establish written procedures under which service participants are informed of their rights including their right to file a complaint alleging discrimination or a violation of their civil rights. Participants in programs funded hereunder shall be provided a copy of their rights that shall include the right of appeal and the right to be free from sexual harassment and sexual contact by members of the treatment, recovery, advisory, or consultant staff.

22. Applicant will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
23. Applicant will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO11738; (c) protection to wetland pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.) (f) conformity of Federal action to State (Clear Air) Implementation Plans under Section 176 (c) of the Clear Air Act of 1955, as amend (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
24. Applicant will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
25. Applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Certifications

Certification — Debarment, Suspension, and Other Responsibility Matters

The applicant and subrecipients must not make any award or permit any award (subgrant or contract) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs (34 CFR §85, App. B).

- A. As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that neither the applicant nor its principals:
- is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
 - has, within a three-year period preceding this application, been convicted of, or had an adverse civil judgment entered in connection with, fraud or other criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
 - is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated above, and
 - has not, within a three-year period preceding this application, had one or more public transactions (federal, state or local) terminated for cause or default;
- B. If you are unable to certify to any of the statements in this certification, you must attach an explanation to this application.
- C. The applicant agrees by submitting this proposal that it will include, without modification, the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions” in all lower tier covered transaction (i.e., subcontracts for financial assistance and subcontracts for goods and services) in accordance with 34 CFR §85 App. B. That clause reads: “(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by and Federal department or agency. (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.”

Certification—Drug -Free Workplace

This certification is required under the laws of the State of California implementing the Drug-Free Workplace Act of 1990 (California Government Code Section 8350 et seq.). The regulations require certification by grantees, prior to award, that they will maintain a drug-free workplace.

As the duly authorized representative of the grantee, I certify, to the best of my knowledge and belief, that the applicant will provide a drug-free workplace by:

- A. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- B. Establishing a drug-free awareness program to inform employees about—
 - the dangers of drug abuse in the workplace,
 - the grantee's policy of maintaining a drug-free workplace,
 - any available drug counseling, rehabilitation, and employee assistance programs, and
 - the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- C. Making it a requirement that each employee to be engaged in the performance of the grant will—
 - receive a copy of the agency's drug-free workplace policy statement; and
 - agree to abide by the terms of the statement as a condition of employment under the grant.

Failure to comply with these requirements may result in the suspension of payments under the agreement or termination of the agreement, or both, and grantee, subcontractor, or subcontractor may be ineligible for award of any future state agreements if the Department of Alcohol and Drug Programs determines that any of the following have occurred: (1) the grantee, contractor, or subcontractor has made a false certification, or violated the certification by failing to carry out the requirements as noted above.

Certification -Lobbying Activities

As required by 34 CFR Part 83, as the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that:

- A. No federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress in connection with the awarding of any federal contract, the making of any federal loan, the entering into of any cooperative agreement, or modification of any federal contract, grant, loan, or cooperative agreement;

- B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the applicant will submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- C. The applicant will require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients will certify and disclose accordingly.

Certification –General Terms and Conditions

It is understood and agreed by the Project Director and the Authorizing Official that any grant received as a result of this application is subject to the Safe and Drug Free Schools and Communities County Grant Program General Terms and Conditions, incorporated here by reference, and available on-line at <http://www.adp.ca.gov/Prevention/sdfsc.shtml>.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Safe and Drug Free Schools Restricted Indirect Cost Rate

The Safe and Drug Free Schools, Governor's Program, is administered under the restricted indirect cost rate (34 CFR part 76.564 through 76.569).

The restricted indirect cost rate is the lesser of the following two options:

- The rate determined by using the restricted indirect cost rate formula, or
- Eight-percent.

If the applicant uses the eight-percent indirect cost rate, direct costs charged to the program must be consistent with the following guidelines from the Office of Management and Budget Circular A-87 C. 1. They must:

- a. Be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
- b. Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.

Records that show how the restricted indirect cost rate was established must be available for audit purposes (see 34 CFR Section 80.42).

Calculation of the restricted indirect cost rate:

Restricted indirect cost rate =

$$(\text{General management costs} + \text{Fixed costs}) \div (\text{Other expenditures})$$

I "General Management Costs" – Restricted Rate

- (a) "General management costs" means the costs of activities that are for the direction and control of the grantee's affairs that are organization-wide. An activity is not organization-wide if it is limited to one activity, one component of the grantee, one subject, one phase of operations, or other single responsibility.
- (b) General management costs include the costs of performing a service function, such as accounting, payroll preparation, or personnel management, that is normally at the grantee's level, even if the function is physically located elsewhere for convenience or better management.

(c) General management costs also include certain occupancy and space maintenance costs, such as:

1. Building costs, whether owned or rented;
2. Janitorial services and supplies;
3. Building, grounds, and parking lot maintenance;
4. Guard services;
5. Light, heat, and power;
6. Depreciation, use allowances, and amortization, and
7. All other related space costs.

Occupancy and space maintenance costs associated with organization-wide service functions (accounting, payroll, personnel) may be included as general management costs if a space allocation or use study supports the allocation.

Occupancy and space maintenance costs associated with functions that are not organization-wide must be included with “other expenditures” in the indirect cost formula.

(d) “General management costs” does not include expenditures for:

1. Divisional administration that is limited to one component of the grantee;
2. Governing body of the grantee;
3. Compensation of the chief executive officer of the grantee;
4. Compensation of the chief executive officer of any component of the grantee;
5. Operation of the immediate offices of these officers.

(e) For the purposes of determining the restricted indirect cost rate:

1. The chief executive officer of the grantee is the individual who is the head of the executive office of the grantee and exercises overall responsibility for the operation and management of the organization. The chief executive officer’s immediate office includes any deputy chief executive officer or similar officer along with immediate support staff of these individuals. The term does not include the governing body of the grantee, such as a board or a similar elected or appointed governing body, and
2. Components of the grantee are those organization units supervised directly or indirectly by the chief executive officer. These organizational units generally exist one management level below the executive office of the grantee. The term does not include the office of the chief executive officer or a deputy chief executive officer or similar position.

II “Fixed Costs” – Restricted Rate

“Fixed costs” means contributions of the grantee to fringe benefits and similar costs, but only those associated with salaries and wages that are charged as indirect costs, including:

1. Retirement, including State, county, or local retirement funds, Social Security, and pension payments;
2. Unemployment compensation payments, and

3. Property, employee, health, and liability insurance.

III “Other Expenditures” – Restricted Rate

- (a) “Other expenditures” means the grantee’s total expenditures for its federally- and non-federally-funded activities in the most recent year for which data are available. The term also includes direct occupancy and space maintenance costs as determined under “General Management Costs,” and costs related to the chief executive officer of the grantee and components of the grantee and their offices (see “General Management Costs,” (d) and (e).)
- (b) The term does not include:
 1. General management costs determined under number 1, above;
 2. Fixed costs determined under number 2, above;
 3. Subcontracts;
 4. Capital outlay;
 5. Debt service;
 6. Fines and penalties;
 7. Contingencies, and
 8. Election expenses.

IV Using the Restricted Indirect Cost Rate

The maximum amount of indirect costs under a grant is determined by the following formula:

Indirect costs = (restricted indirect cost rate*) x (Total direct costs of the grant minus capital outlays, subcontracts, and other distorting or unallowable expenses).

The general management and fixed costs covered by the indirect cost rate must be excluded by the grantee from the direct costs it charges to the grant.

* The restricted indirect cost rate is the rate determined using the restricted indirect cost rate formula, or eight percent, whichever is less.

Subcontracting

Subrecipients are held to the same programmatic and fiscal requirements as the grantee (the County) in carrying out the SDFSC program. Contracts must be competitively bid and include the term, scope, and anticipated product or outcome, and all applicable federal and state requirements.

The grantee is responsible for evaluating the institutional capabilities of the subrecipient for evidence that its business management systems:

- are adequate to record, identify, and evaluate costs, and
- satisfy the needs of an adequate management system to ensure that funds and property are properly safeguarded and used only for appropriate purposes under the subcontract.

If the subrecipient is a non-profit organization, the grantee must also review and provide evidence of the subrecipients' non-profit status, that it is financially responsible, and that it has the business management resources available to carry out the proposed project.

The applicant must be aware of the cost principles and administrative requirements that govern each subrecipient, for example, the administrative requirements for state and local governments are found in 34 CFR §80, and the administrative requirements for non-profit entities are found in 34 CFR §74. The cost principles for state and local governments are found in Office of Management and Budget (OMB) Circular A-87; the cost principles for non-profit entities are found in OMB Circular A-122. The type of recipient determines the applicable requirements.

The grantee must be aware of and apply the Procurement standards contained in EDGAR §80.36 (b) through (i).

Because subcontracts with subrecipients and vendors must be awarded competitively, the applicant is not expected to provide the name of the contractor in the application. Grantees must receive ADP approval before executing contracts and interagency or standard agreements. In the budget, use descriptive names, such as "Evaluation Services" and the estimated cost of the contract. In the budget narrative, use the descriptive names listed in the budget and provide a brief description of the work the contractor will perform.

Web Sites and Reference Areas

Legislation

<http://www.ed.gov/legislation/ESEA02/pg51.html>

<http://uscode.house.gov/usc.htm>

You go down the "Title" box and enter "20." Then you go to the "Section Box" and enter "7111." That brings us that particular section. You keep hitting the arrows to get additional sections.

California Department of Alcohol and Drug Programs

www.adp.ca.gov

Prevention Services Division: <http://www.adp.ca.gov/prevention/sdfsc.shtml>

California Department of Education

<http://www.cde.ca.gov/>

<http://www.cde.ca.gov/pr/nclb/index.html>

No Child Left Behind Web Site

<http://www.nochildleftbehind.gov/>

Administrative, Financial Information

The *Education Department General Administrative Regulations* (EDGAR)

www.ed.gov/offices/OCFO/grants/edgar.html

<http://www.ed.gov/offices/OSDFS/index.html>

OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments

www.whitehouse.gov/omb/circulars/a087/a087-all.html

OMB Circular A-122, Cost Principles for Non-Profit Organizations

www.whitehouse.gov/omb/circulars/a122/a122.html

Logic Models and Evaluation

Websites for references including evaluation info & logic models. Also, use Google to search for “logic models” and “evaluation.”

Logic Models

<http://www.insites.org/documents/logmod.htm>

http://www.bja.evaluationwebsite.org/html/roadmap/basic/program_logic_models

Evaluation

http://www.mapnp.org/library/evaluatn/fnl_eval.htm#anchor1575679

www.emt.org

http://www.projectstar.org/star/EvalPlans/evaluationplan_home.html

<http://www.oerl.sri.com/>

<http://www.eval.org/>

Science-Based Programs

[WesternCAPT](http://www.unr.edu/westcapt) <http://www.unr.edu/westcapt>

[California Healthy Kids Resource Center](http://www.hkresources.org) <http://www.hkresources.org>

[SAMHSA Model Programs](http://modelprograms.samhsa.gov) <http://modelprograms.samhsa.gov>

[U.S. Department of Education](http://www.ed.gov/offices/OSDFS/index.html) <http://www.ed.gov/offices/OSDFS/index.html>

Other Resources

[Help Your Community](http://www.helpyourcommunity.org/) <http://www.helpyourcommunity.org/>

[Western CAPT](http://www.unr.edu/westcapt/) <http://www.unr.edu/westcapt/>

[Decision Support System - Community-Based DSS](http://www.preventiondss.org/) <http://www.preventiondss.org/>

[HHS Center for Faith-Based and Community Initiatives \(CFBCI\)](http://www.hhs.gov/faith/) <http://www.hhs.gov/faith/>

[SAMHSA Web Center for Substance Abuse Prevention \(CSAP\)](http://www.samhsa.gov/centers/csap/csap.html)

<http://www.samhsa.gov/centers/csap/csap.html>

[CSPV Center for Study and Prevention of Violence. Info on violence prevention.](http://www.colorado.edu/cspv/)

<http://www.colorado.edu/cspv/>

[Centers for Disease Control and Prevention](http://www.cdc.gov/) <http://www.cdc.gov/>

[CADCA - Community Anti-Drug Coalitions of America](http://www.cadca.org/) <http://www.cadca.org/>

[Home Page - Join Together Online - Take Action Against Substance Abuse and Gun Violence](http://www.jointogether.org/home/)

<http://www.jointogether.org/home/>

[Leadership To Keep Children Alcohol Free](http://www.alcoholfreechildren.org/) <http://www.alcoholfreechildren.org/>

[National Asian Pacific American Families Against Substance Abuse](http://www.napafasa.org/) <http://www.napafasa.org/>

[National Association of State Alcohol and Drug Abuse Directors, Inc.](http://www.nasadad.org/) <http://www.nasadad.org/>

[PREVLINe Prevention Online, National Clearinghouse for Alcohol and Drug Information-](http://www.health.org/)

[NCADI](http://www.health.org/) <http://www.health.org/>

[Center On Addiction and Substance Abuse](http://casacolumbia.org/) <http://casacolumbia.org/>

[National Institute on Drug Abuse](http://www.nida.nih.gov/) <http://www.nida.nih.gov/>

[National Institute on Alcohol Abuse and Alcoholism](http://www.niaaa.nih.gov/) <http://www.niaaa.nih.gov/>

[Welcome to the Office of National Drug Control Policy - ONDCP](http://www.whitehousedrugpolicy.gov/)

<http://www.whitehousedrugpolicy.gov/>

[Office of Juvenile Justice and Delinquency Prevention](http://ojjdp.ncjrs.org/) <http://ojjdp.ncjrs.org/>

[Partnership for a Drug-Free America](http://www.drugfreeamerica.org/Home/Default.asp?ws=PDF&vol=1&grp=Home)

<http://www.drugfreeamerica.org/Home/Default.asp?ws=PDF&vol=1&grp=Home>

[ED-OESE - Safe and Drug-Free Schools Program](http://www.ed.gov/offices/OESE/SDFS/) <http://www.ed.gov/offices/OESE/SDFS/>

[SALIS Resource](http://www.salis.org/resources/resources.htm) <http://www.salis.org/resources/resources.htm>

California Department of Alcohol and Drug Programs
Safe and Drug Free Schools and Communities
County Grant Application

Round 2—May 2003

County(ies): Name of the County(ies)	Application No. <u># of #</u> Number of applications per County
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Legal Applicant: Name of Agency Address City, Zip Federal Tax ID No.:	Project Title: Working Title of Project
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Brief Project Description: (In approximately 100 words, summarize the proposed project plan covering the objectives, method of procedure, evaluation and end product.)
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County AOD Administrator: Name of Administrator Address (if different than above) Phone: Fax: E-mail:	Project Director: Name of Project Director Address (if different than above) Phone: Fax: E-mail:
Fiscal or Accounting Official: Name of Official Address (if different than above) Phone: Fax:	Office Authorized to Receive Payments: Name of Official Address (if different than above)

If the County Administrator is not authorized to sign the Notice of Grant Award, list name and title of individual who will sign: Name of Official Title

Funds Requested: Total grant period: \$ xx Year 1: \$ xx Year 2: \$ xx Year 3: \$ xx

Certifications

The applicant certifies to the best of his/her knowledge and belief that the data in this application is true and correct and that filing of the application has been duly authorized by the governing body of the applicant and that applicant will comply with the assurances required of applicants if the assistance is approved.

Signature _____ Date: _____
 Name: _____
 Title: _____

Logic Model Work Sheet

The table below can be used as a tool to develop your logic model. The elements listed are provided as an example; your program logic model may include other elements not listed here. You may also use the Web sites in Appendix D to explore other examples of logic models.

GOALS <i>To address the level of this risk or protective factor...</i>	
STRATEGIES <i>...we will do the following program activities...</i>	
TARGET POPULATION <i>...for these people and for this amount of time.</i>	
THEORY OF CHANGE <i>We expect this activity to lead to changes in these factors, and ultimately accomplish our goals because...</i>	
SHORT TERM OUTCOMES — <i>We will know these changes have occurred if...</i>	
LONG TERM IMPACTS — <i>We will know we are reaching our goals if...</i>	

Create a schematic or graphic representation of your logic model and include in your application as Attachment B. (The logic model worksheet is not required.)

Three Year Work Plan

(Sample Format)
Revised April, 2003

Include the major tasks and activities throughout the three-year grant period. Include county AOD office activities to demonstrate substantive County AOD Office involvement.

Phase I—Program Preparation (list time period, i.e., 1/1/03-2/28/03)

- County AOD office will complete and release RFP for ...
- County prevention specialist will make presentation to city council to gain support...
- Begin procurement process for ...
- Identify parent and community members to serve on planning committee, extend invitations and set date for first meeting.

Phase II—Implementation (Time Period)

[Continue listing what activities will take place under each phase of the project.]

Phase III—Data Gathering and Analysis (Time Period)

Phase IV—Evaluation (Time Period)

Project Deliverables:

1. Strategic plan, due 6/30/03
2. Sign-in sheets containing original signatures from youth leadership training events, due 12/31/03, 12/31/04, 12/31/05...etc.

Evaluation Plan

Please use the table below to assist you in developing your responses to Section V. B.

County:

Project Name:

OBJECTIVE/ACTIVITY TO BE MEASURED	
PERFORMANCE INDICATORS How will we know if things have changed?	
SUCCESS CRITERIA How much must things change for the program to be considered a success?	
METHOD OF MEASUREMENT Data collection tools.	
DATA SOURCES Where will you get your data?	
REPORTING How will you analyze your data? How often will data analysis occur?	
DISSEMINATION How will information from the evaluation be provided as feedback and used to improve the program?	

County AOD Office
DETAILED BUDGET ESTIMATE

Appendix D
Sample Budget

Grant No: xxx
County: Noga County

COST CATEGORY	BUDGET YEAR ESTIMATES			TOTAL COST TO PROJECT
	YEAR 1	YEAR 2	YEAR 3	
A. PERSONNEL COSTS				
Prevention Specialist 1 (1.5 FTE)				
3 months @ \$2,657 (1-1-03 to 3-31-03)	\$ 12,430			\$ 12,430
9 months @ \$2,790 (4-1-03 to 12-31-03)	37,665			37,665
12 months @ \$2,985 (1-1-04 to 12-30-04)		\$ 53,730		53,730
12 months @ \$3,194 (1-1-05 to 12-31-05)			57,492	57,492
Administrative Assistant 1 (0.5 FTE)				
3 months @ \$1,825 (1-1-03 to 3-31-03)	2,738			2,738
9 months @ \$1,953 (4-1-03 to 12-31-03)	8,789			8,789
12 months @ \$2,090 (1-1-04 to 12-30-04)		12,540		12,540
12 months @ \$2,236 (1-1-05 to 12-31-05)			\$ 13,416	13,416
Employee Benefits @ 40%	24,649	26,508	28,363	79,520
Total Personnel Costs	\$86,271	\$92,778	\$99,271	\$278,320
B. TRAVEL EXPENSES				
Travel to remote areas of county, 80 mi. rt. to Big Oak and 88 mi. rt. to Cottonwood twice a week @ 0.365/mi	\$6,263	\$6,263	\$6,263	\$18,789
Training conference, 2 people @ 700 ea.	1,400	1,400	1,400	4,200
Policy Council 2 times a year	1,050	1,050	1,050	3,150
Total Travel Expenses	\$8,713	\$8,713	\$8,713	\$26,139
C. OTHER DIRECT COSTS				
1personal computer with perepherials @ \$2,793, including shipping and taxes	\$2,793			\$2,793
Participant support costs-stipends	822	900	925	2,647
Participant support costs-training conferences	2,077	3,000	3,500	8,577
Public education and awareness - T-shirts	1,500	1,500	1,500	4,500
Public education and awareness - Video Message Pens	2,300	2,300	2,300	6,900
Printing for posters and advertising	500	500	500	1,500
Office supplies and materials	2,250	2,250	2,250	6,750
Total Other Direct Costs	\$12,242	\$10,450	\$10,975	\$33,667
E. INDIRECT COSTS				
Total Indirect Costs @ 8%	\$8,578	\$8,955	\$9,517	\$27,050
F. CONTRACTUAL SERVICES				
Evaluation -	\$20,000	\$5,000	\$25,000	
Total Contractual Services	\$20,000	\$5,000	\$25,000	\$50,000
TOTAL BUDGET ESTIMATE ALL CATEGORIES	\$135,804	\$125,896	\$153,476	\$415,176

**Budget Preparation Instructions for Safe and Drug Free
Schools and Communities Grants
April, 2003 (REVISED)**

Preparation of the Detailed Budget Estimate

Please use the budget form provided, or an electronic copy available at www.adp.ca.gov. Space is provided on the form to estimate costs up to a maximum three-year period. Costs are divided into five categories. List costs in only those categories that pertain to your project.

PLEASE USE WHOLE DOLLAR AMOUNTS. ROUND UP FIGURES \$.50 AND ABOVE, AND DOWN FOR AMOUNTS LESS THAN \$.50 TO THE NEAREST DOLLAR.

Cost categories and suggestions for applicable costs are:

- (a) Personnel Costs—Enter titles of positions to be used; monthly salary and percentage applicable to the project. In the budget narrative include the yearly salary upon which this percentage is based. Reasonable cost of living increases or merit increases should be estimated and included on the form and explained in the budget narrative. Extend computations to fiscal year columns. Subtotal the salaries and add the amounts required to cover related employee benefits.
- (b) Travel Expense—Enter estimated cost of employee travel related to the projects. Cost items include transportation and per diem and must be segregated into “in-state” and “out-of-state” travel. Participant travel should be included under “Other Direct Costs.”
- (c) Other Direct Costs—These costs include all other direct expenditures. They include, but are not limited to, office supplies, printing, computers, public education and awareness materials, meeting room rental, participation support costs, stipends, etc.
- (d) Indirect Costs—Costs which, by their nature, cannot be charged directly to a project. The restricted indirect cost rate, as defined in *Title 34 Code of Federal Regulation*, Subchapter A, Sections 76.563 through 76.569 applies to Safe and Drug Free Schools grants. Please see the attached sheet to determine and apply your restricted indirect cost rate. The rate cannot exceed eight percent, and it applies to the “Personnel” and “Other Direct Costs” budget categories.
- (e) Contractual Services—Contractual services must be competitively bid. Enter the estimated cost of work to be performed by each subrecipient or vendor. Use descriptive titles such as “Technical Assistance,” “Evaluation.” **PLEASE NOTE THAT A SEPARATE BUDGET FORM AND NARRATIVE MUST BE PROVIDED FOR EACH SUBRECIPIENT THAT PROVIDES PROGRAM IMPLEMENTATION SERVICES.**

Preparation of the Budget Narrative

Individual expenditures included in the Detailed Budget Estimate must be explained and justified in the budget narrative.

- (a) Personnel Costs—Explain all personnel salaries that are identified in the budget. Itemize employee benefits and rates. Please see sample budget for format. NOTE: If benefits or rates differ between personnel, each must be itemized and totaled separately.
- (b) Travel expense—Identify proposed major project-related trips for employees to be funded under this project. Explain the guidelines/policies used to develop travel costs.
- (c) Other Direct Costs—Provide a brief description of each item identified in the budget, its intended use, and how costs were determined. Please do not list brand names.
- (d) Indirect Costs—Indicate the rate used and how it is applied in this project.
- (e) Contractual Services—Provide a brief description of the work each subrecipient, vendor, agency, or person will provide. Use the descriptive name(s) used on budget form. If other than personnel costs are involved, include an itemized budget reflecting cost for each project year. A separate budget form and narrative must be provided for each subrecipient providing program implementation services.

Determining Allowable Costs

There are basic principles for determining allowable costs. The application of these principles is based on the fundamental premises that:

- (a) Costs must be allowable, allocable, and reasonable.
- (b) Costs must be consistent with the statute and the applicable federal requirements: *Cost Principles for State, Local and Indian Tribal Governments* (Office of Management and Budget Circular A-87), and *Audits of States, Local Governments, and Non-Profit Organizations* (OMB Circular A-133) apply.
- (c) Applicants are responsible for the effective and efficient administration of the project through the application of sound management practices.
- (d) Allowable costs and principles apply to the grant as well as contracts.

Only those budgeted costs outlined in the project agreement and supported by proper source documentation are eligible for reimbursement.

Expenditures must be made within the period of availability of funds to be eligible for reimbursement.

Costs incurred under one project shall not be shifted to another project.

Additional Information

The following information is provided in response to specific questions the Department has received. The following responses are intended only to provide assistance in preparing project budgets.

The intent of the Safe and Drug Free Schools and Communities grant is that funds be used to achieve the stated goals, objectives and outcomes of the No Child Left Behind Act of 2001 20 U.S.C. Section 7111 et seq. Program expenditures should be closely correlated to program activities and outcomes.

Incentives

Incentives such as raffles or prizes to participate in the program are not acceptable or allowable expenses. Acceptable expenses are those that are used for public education and awareness, and are in keeping with the program goals and objectives (such as t-shirts that are imprinted with a message or logo identifiable to the program).

Entertainment

Costs of entertainment, including amusement, diversion, and social activities and any cost directly associate with such costs (such as tickets to shows or sports events, meals, lodging, rental, transportation, and gratuities) are not allowable.

Food

Expenses for food are allowable as long as they are reasonable and used for programmatic purposes. Meal expenses must be consistent with state guidelines for travel and subsistence (travel and per diem guidelines).

Transportation Costs

Costs for transportation are allowable if considered a necessary program expense and are reasonable. Purchasing vehicles such as vans or automobiles is not an allowable expense. Leasing of a vehicle may be allowable if an adequate justification is provided that clearly delineates the necessity for the program, the cost is reasonable, and the lease is not with an option to buy. Fuel and maintenance costs are allowable only to the extent they relate to program use. Costs of insurance in connection with the general conduct of activities is allowable subject to the following limitations:

- a. Types and extent and cost of coverage will be in accordance with general state or local government policy and sound business practice.
- b. Cost of contribution to any reserve covering the risk of loss of, or damage to, federal government property are not allowable. (OMB Circular A-87).

Travel

County employees will follow their respective county travel and *per diem* guidelines. State travel and *per diem* rates apply to all other individuals. The county will be responsible for compliance and adherence to these guidelines. Out-of-state travel must be pre-approved by your PSD county analyst.

Computer Purchase and Expenses

Purchases of computers and peripherals (such as software) are allowable, as are other supplies expenses if they are less. Need for such purchases must be justified and reasonable, and be used directly for the program funded by this grant.

Conference and other training expenses

These are allowable to the extent that the program can clearly identify the need for the training and how it relates to the goals and objectives and outcomes of the program. Travel guidelines apply. Costs for speakers or other trainers are allowable for educational purposes.

Participant support costs

Participant support costs are direct costs for items such as stipends, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with meetings, conferences, symposia, or training projects. These costs are allowable with prior approval of ADP.

Non-county employees will follow state guidelines for travel and per diem. The county will be responsible for compliance and adherence to these guidelines. PSD county analysts will request information about the purpose and overall cost of travel that occurs within a given quarter through the quarterly report and claim form. Please list as Participant Support Costs in the Other Direct Costs Category of the budget. Please justify purpose of training and how costs were determined.

Child Care

If these are expenses that relate to the program, they are allowable to the extent that the program can provide a justification and identify a clear link to program need.

Counseling/Intervention/Treatment.

Counseling and intervention services are appropriate up to the point where a diagnosis occurs and a participant is referred to treatment. SDFSC funds are not to be used for treatment.